State of Washington
Department of Retirement Systems

Automated Reporting and Procedural Changes for the Deferred Compensation Program

Automated Reporting and Procedural Changes for DCP

This Booklet Discusses:

Overview

This booklet provides information about transmittal reporting to Department of Retirement Systems (DRS) for Deferred Compensation Program (DCP) employers:

- Transmittal reporting requirements
- Making corrections to the transmittal report
- Automated reporting requirements
- Edits for automated reporting

For the purposes of this booklet, the following terms are defined:

—**Participant:** Any eligible employee who executes a participation agreement with DRS assenting to the provisions of the Deferred Compensation Program (DCP), once the agreement has been approved by DRS or its designee. (Refer to WAC 415-504-090.)

—**Deferral:** The amount of the DCP participant's compensation, which the participant and the employer shall mutually agree (prior to the date on which such compensation is earned), will be deferred. (Refer to WAC 415-504-040.)

The first four pages of this document contain information that is relevant for all DCP employers. The rest of the information is necessary for employers who:

- currently report via an automated method; and
- for employers who want to switch from paper reporting to an automated method.

Reporting to DRS

DCP employers are required to report information to DRS about each employee who chooses to participate in the DCP. This process is referred to as the regular transmittal report. Participating employers are required to submit regular transmittal reports on payday or as close to this date as possible.

Note: DRS will process DCP reports the day they are received if the money and the report are received together.

DRS depends upon receiving *timely and accurate information* from employers to provide quality service to participants of the DCP. Accurate transmittal reporting by employers helps ensure:

- participant deferrals are invested in a timely manner which directly affects earnings; and
- participant requests for distribution of deferrals are processed in a timely manner.

A Summary of the Reporting Process

Currently, employees become participants and/or change their deferral amount by sending DRS a Participation Agreement (PA) form. As of July 2000, employees will use a redesigned PA form to enroll. Participants will change their deferral amounts by phone or the Internet. To ensure security, future account transactions (e.g., deferral amount changes) will require a participant's Social Security number and associated Personal Identification Number (PIN) combination.

DRS will inform employers via a paper or electronic report of:

- new participants; and
- deferral amount changes for current participants.

This report will replace the PA form that DRS currently sends to employers as authorization (per the employee) for a new DCP deduction amount.

Employers can report to DRS in one of two ways: **manually**, using a preprinted paper report titled "*DCP Transmittal Report*"; **electronically**, using a variety of options provided for automated reporting. Contact Employer Support Services (ESS) at (360) 664-7200 or 1-800-547-6657 if you need help getting started or have questions about your monthly reporting.

Submitting the Transmittal Report

The options available for submitting participant information are described briefly below:

Computer Diskette

You can submit your transmittal report on a 3.5-inch computer diskette. To report in this way, use a personal computer, save an electronic file in a format DRS will accept, then mail the computer diskette to ESS. (Refer to page 20.)

File Transfer Protocol

You can submit your transmittal report through the Internet using File Transfer Protocol (FTP). (Refer to page 24.)

Dataset to DIS

If you have access to the Department of Information Services' (DIS) mainframe computer, you can submit your transmittal report as a dataset. (Refer to page 27.)

Paper (Manual) Reporting

You can use a preprinted report (redesigned effective July 2000) sent to you for each payday by DRS. The preprinted report will reflect the deferral amounts DRS expects employers to deduct from each participant's compensation. Employers should mail this report with the payment and the DCP Payment Advice form to DRS as soon as possible (before, on or soon after each payday).

New participants' deferrals and/or deferral amount changes will be attached to the preprinted paper report. You should receive both of these reports in time to enter new deferral amounts into your payroll system. If the deducted deferral amount is not equal to the preprinted (expected) amount, draw a line through the preprinted amount using a pen (red preferred) or typewriter and enter the amount that was deducted below the preprinted amount.

Note: Active participants' names and addresses can only be updated through the transmittal report.

- When participants notify you of a name change, draw a line through the preprinted name using a pen or typewriter and enter the new name.
- When participants notify you of address changes, draw a line through the preprinted address using a pen or typewriter and enter the new address.

Note: Employers will receive detailed instructions on how to use the DCP paper Transmittal Report via an update to Chapter 8 of the *DRS Employer Handbook* in June 2000.

When to Report Information

The DCP transmittal report must reflect participants' deferral information as of each payday. Employers with more than one payday in a month must submit a DCP transmittal report for each payday. One exception to this rule applies to bi-weekly payroll cycles. (DRS expects only two reports—even for the two months that have three pay dates.)

Corrections to the DCP Transmittal Report

You can make corrections on your regular automated transmittal report. The adding/subtracting method allows you to use a single line to make a correction to a participant's deferral amount.

Note: To adjust a DCP participant's deferral, determine the current deduction. Then add to or subtract from this amount to determine the appropriate amount to report to DRS. Employers should communicate with DRS staff before making this type of adjustment.

Procedures for Multiple Record Layout (MRL) Automated Reporting

The following pages provide information about procedures used in multiple record automated reporting. Because various reporting options are used by employers, these procedures may not describe the specific reporting procedures used by your agency. Please contact the appropriate staff in your agency for reporting procedures for your particular situation.

Adding an Employee to the Transmittal

DRS will distribute an official DRS report as notification to all employers except users of the Human Resources Information System Division (HRISD) payroll system. DRS informs employers and HRISD of the new participants' deferrals and or deferral amount changes via a paper or electronic. This report replaces the PA form that DRS currently sends to employers as authorization (per the employee) for a new deduction amount.

Note: Employers should not establish a DCP deduction before receiving approval from DRS.

Completing the First Transmittal Report for a New DCP Participant

The following information *must* be included on your DCP transmittal report the first time you report an employee to DRS.

The four fields in each record which follow the record type identifier are common (*KEY*) fields and are part of each record type. They are:

- Reporting Group Number (Agency);
- Reporting Period;
- Report Type; and
- Report Version Number.

Create the following record types the first time you report an employee:

Participant Profile Record

Record Type Identifier
Key
Social Security Number
Participant Name Change Flag = Y
Participant Last Name
Participant First Name
Participant Middle Name*
Participant Name Extension*
Participant Name Title*
Participant Name Suffix*
Address Change Flag = Y
Address 1
Address 2*
Address 3*
City
State
Zip Code
Zip Extension*
Gender
Birth Date
* Optional

Employment Information Record

Record Type Identifier
Key
Social Security Number
System Code
Plan Code
Type Code
Eligibility Start Date

Defined Contribution Record

Record Type Identifier
Key
Social Security Number
System Code
Deferrals
Tax Status
Investment Manager
Rate Option

Regular Automated Transmittal Reporting

When submitting your regular transmittal report include the following:

- a summary record for each transmittal report [reporting group (agency number)]; and
- detailed deferral information for each participant.

Note: Use the other record types (member profile record and employment information record) only when necessary.

Separating Employees from the Transmittal Report

Use the Employment Information Record to submit the participant's eligibility termination date (the employee's employment termination date).

Name and Address Changes

Name Information

When participants notify you of a name change, you should report the new information on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Participant Name Update Flag.

Address Information

When participants notify you of address changes, you should report the new address on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Participant Address Update flag.

Note: Active participants' names and addresses can only be updated through the transmittal report. More detail on the use of all records is provided in the record and field description areas of this document.

Technical Requirements

This section provides employers with information about how to report participants to DRS using an electronic format. DRS can accept one layout and several reporting media. The information in this section will help employers decide the best way for them to report DCP information to DRS.

This section describes:

- the Multiple Record Layout (MRL). Each field is described/identified by record type;
- the automated reporting media DRS accepts and the data format options associated with this media; and
- specific step by step information employers must follow to start using one of the automated reporting media accepted by DRS.

If you change your reporting method, please contact ESS to arrange for a test of the new method *before* submitting a regular transmittal report via the new method.

The Multiple Record Layout

The MRL is Year 2000 compliant. This is the only layout employers can use to report DCP participants. Using MRL allows employers to update an employee's name or mailing address, eliminating the need to complete paper forms.

What the MRL Looks Like

The MRL report structure contains the following record types:

- Summary Record
- Member Profile Record
- Employment Information Record
- Defined Benefit Record (Not used for DCP)
- Defined Contribution Record
- Plan 3 Transfer Record (Not used for DCP)

Record Types of the Multiple Record Layout

The chart in Figure 8-1 provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow:

Summary Record	Member Profile Record	Employment Information Record	Defined Benefit Record	Defined Contribution Record	Plan 3 Transfer Record
Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier
Reporting Group (Dept.) Number[1]	Key[2]	Key[2]	Key[2]	Key[2]	Key[2]
Reporting Period[1]	SSN	SSN	SSN	SSN	SSN
Report Type[1]	Participant Name Change Flag	System Code	System Code	System Code	System Code
Report Version Number[1]	Participant Last Name	Plan Code	Plan Code	Deferrals	Transfer Date
Expected Monthly Reports	Participant First Name	Type Code	Type Code	Taxed/ Non Taxed Status	
Total Compensation	Participant Middle Name	Eligibility Start Date	Earning Period	Investment Program	
Total Deferrals	Participant Name Extension	Eligibility Termination Date	Status Code	Rate Option	
Total Employer Contributions	Participant Name Title	Disability/Leave Start date (LEOFF only)	Hours (All plans except TRS 1)		
Total Hours Reported	Participant Name Suffix	Disability/Leave End date (LEOFF only)	Days (TRS 1 only)		
Total Records Reported	Address Change Flag	Control Number	Compensation		
Total Days Reported (TRS 1 only)	Address Line 1	Organization Display	Employer Contributions		
	Address Line 2		Defined Benefit Member Contributions		
	Address Line 3				
	City				
	State				
	Zip Code				
	Zip Extension				
	Gender Code				
	Birth Date				

Figure 8-1

[1] These four data elements form the *key,* and are part of each record type.

[2] The *key,* which includes the four data elements noted in the summary record column under footnote 1, must be reported for each record type.

Note: The shaded record types do not apply to DCP.

Record Structure of the Multiple Record Layout

Listed below are some basic field requirements that you should be aware of:

- the four fields in each record which follow the record type identifier are common (key) fields and are part of each record type;
- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the "field length" column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- alpha fields should be blank when not being used;
- numeric fields must be right justified;
- numeric fields should be zero filled when not being used; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within MRL.

The Summary Record

Summary Record Use

The summary record as shown in Figure 8-2, must be part of every transmittal report to DRS. You can send one file with multiple reports but each transmittal report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one transmittal report from another.

Summary Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (agency) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Expected Monthly Reports	##	2	17	18
Total Compensation	+/-#########.##	13	19	31
Total Deferrals	+/-#########.##	13	32	44
Total Employer Contributions	+/-#########.##	13	45	57
Total Hours (except TRS 1)	+/-#########.#	12	58	69
Total Records Reported	#######	7	70	76
Total Days (TRS 1 only)	+/-#########.#	12	77	88

Figure 8-2

[1]These four data elements form the *key*, and are part of each record type.

The following fields should always be zero filled:

- Total Compensation
- Total Employer Contributions
- Total Hours
- Total Days

The Member Profile Record

Member Profile Record Use

This record is required the first time you report an employee. This record is also used to report a change to a participant's name, address, gender code or birth date. See Figure 8-3 for details.

Member Profile Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (agency) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
Participant Name Change Flag	Character	1	26	26
Participant Last Name	Character	35	27	61
Participant First Name	Character	35	62	96
Participant Middle Name	Character	35	97	131
Participant Name Extension	Character	3	132	134
Participant Name Title	Character	5	135	139
Participant Name Suffix	Character	5	140	144
Address Change Flag	Character	1	145	145
Address Line 1	Character	35	146	180
Address Line 2	Character	35	181	215
Address Line 3	Character	35	216	250
City	Character	35	251	285
State Code	Character	2	286	287
Zip Code	#####	5	288	292
Zip Code Extension	####	4	293	296
Gender Code	Character	1	297	297
Birth Date	yyyymmdd	8	298	305

Figure 8-3

[1] These four data elements form the *key*, and are part of each record type.

The Employment Information Record

Employment Information Record Use

This record is required the first time you report an employee, and the last time you plan to report an employee. Layout details are shown in Figure 8-4.

Employment Information Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (agency) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Eligibility Start Date	yyyymmdd	8	30	37
Eligibility Termination Date	yyyymmdd	8	38	45
Disability/Leave Start Date (not applicable for DCP)	yyyymmdd	8	46	53
Disability/Leave End Date (not applicable for DCP)	yyyymmdd	8	54	61
Control Number (not applicable for DCP)	Character	6	62	67
Organization Display (not applicable for DCP)	Character	6	68	73

Figure 8-4

[1] These four data elements form the *key*, and are part of each record type.

When this record is reported to DRS, the following fields should be blank or zero filled depending on the format of the field:

- Type Code: Zero filled
- Disability/Leave Start: Zero filled
- Disability/Leave End: Zero filled
- Control Number: Blank
- Organizational Display: Blank

The Defined Benefit Record

Defined Benefit Record Use (Not Applicable for DCP)

This record should never be on a DCP transmittal report. Layout details are shown in Figure 8-5.

Defined Benefit Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Earning Period	yyyymm	6	30	35
Status Code	Character	1	36	36
Hours	+/-###.#	6	37	42
Days (TRS 1 only)	+/-##.#	5	43	47
Compensation	+/-#######.##	11	48	58
Employer Contributions	+/-#######.##	11	59	69
Defined Benefit Member Contributions (Sys/Plans other than Plan 3 and/or DCP)	+/-#######.##	11	70	80

Figure 8-5

[1] These four data elements form the *key*, and are part of each record type.

The Defined Contribution Record

Defined Contribution Record Use

This record should be on every report for each DCP participants' deferral information. See Figure 8-6

Defined Contribution Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (agency) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Deferrals	+/-#######.##	11	27	37
Taxed/Non-taxed Status	Character	1	38	38
Investment Program	Character	4	39	42
Rate Option	Character	1	43	43

Figure 8-6

[1] These four data elements form the *key*, and are part of each record type.

The following fields should always be blank:

- Taxed/Non-taxed Status
- Investment Program
- Rate Option

The Plan 3 Transfer Record

Plan 3 Transfer Record Use (Not Applicable for DCP)

This record should be never be on a DCP transmittal report. Layout details are shown in Figure 8-7.

Plan 3 Transfer Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type Code[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Transfer Date	yyyymmdd	8	27	34

Figure 8-7

[1] These four data elements form the *key*, and are part of each record type.

Choose From Three Data Format Options

DRS will accept three different formats from automated systems. The chart in Figure 8-8 describes the typical system requirements used to produce transmittal reports in each format.

	ASCII text format — tab delimited	ASCII text format — fixed length	EBCDIC format — fixed length
Typical system requirements	PC-based spreadsheet or database programs	Mainframe or mini-computer systems Also PC-based database or spreadsheet programs	Mainframe or mini-computer systems

Figure 8-8

Choose From Two Reporting Media Options

DRS can process transmittal report information via electronic transmission or diskette. DRS recommends using the ASCII text format (tab delimited) if you currently use the paper report. This type of transmittal report can be created using spreadsheet software.

Electronic Reporting Choices

Employers can choose from two methods of electronic transmission:

- File Transfer Protocol (FTP); or
- dataset.

Reporting via FTP requires employers to use the ASCII text format. The FTP method allows employers to send their DCP transmittal report over the Internet using FTP software.

Employers who choose to report via dataset must use the EBCDIC fixed length format. Employers must be able to transmit the transmittal report file directly to a System 390 mainframe in Olympia, and have an account with the DIS.

Note: Employers who choose to report electronically must ensure DRS receives the DCP deferral dollars the same day as the electronic file.

Creating an ASCII Format Transmittal Report Using a Spreadsheet

Employers can use spreadsheet software and a personal computer to create a file containing their detailed transmittal report transactions, and summary record. The file must be saved as ASCII text, in tab delimited format. This type of file can be submitted via diskette or FTP (one of the electronic transmission methods).

The sample in Figure 8-9 reflects how a DCP transmittal report created with a spreadsheet may appear.

Points for use in creating a spreadsheet

- By using the record type identifier "L," you can create headings to help you use your spreadsheet. The DRS system will not process information in any row with an L in the Record Type Indicator field.

- Many spreadsheets will delete leading zeroes from numbers you enter. (For instance, the zero will be removed from 07.) As long as you are reporting in ASCII text, tab delimited format, DRS can read these fields, even if the leading zeroes do not appear. You may encounter this with fields such as Report Version Number, Expected Monthly Reports, or Social Security Number, among others.

- If you would like to have leading zeroes show on your spreadsheet, review the features of your spreadsheet application to determine how to reformat the way numbers are displayed in the cells.

- Because there are more fields in the detailed records than in the summary record, the columns do not need to line up. (See Figure 8-9.)

- When the transmittal report is complete, save your file as ASCII text, with tab delimiters. Follow the instructions provided with your software to save the file in this format.

Note: Refer to the field descriptions for complete field names. Field headings in Figure 8-9 are abbreviated.

MRL ASCII Tab Delimited Format - Using a Spreadsheet

Total deferrals appear here for the detailed information

L **Summary Record**

L	Report	Report	Rpt	Rpt	Exp	Total	Total Deferrals	Total Emp	Total	Total	Total
L	Group	Period	Type	Ver		Comp		Contrib	Hours	Records	Days
S	899Z99	200010	R	01	01	0000000.00	540.00	000000.00	00000.00	0000008	000000.00

L **Member Profile Record**

L	Report	Report	Rpt	Rpt	SSN	Name	Last	First	Middle	Name	Name	Name	Address	Address	Address	Address	City	State	Zip	Zip	Gen	Birth
L	Group	Period	Type	Ver		Change	Name	Name	Name	Extension	Title	Suffix	Change	Line 1	Line 2	Line 3			Code	Ext		Date
M	899Z99	200010	R	01	123768888	N	Mer	Iona	B				Y	PO Box 111			Olympia	WA	98504	8380	F	19580204
M	899Z99	200010	R	01	987561234	N	Reilly	Dawn	A				Y	123 First Ave			Olympia	WA	98506		F	19620524

L **Employment Information Record**

L	Report	Report	Rpt	Rpt	SSN	System	Plan	Type	Start	End	Dis	Dis	Control	Org
L	Group	Period	Type	Ver				Code	Date	Date	Start	End	Number	Display
E	899Z99	200010	R	01	032556606	D	1	00	20001002		00000000	0000000		
E	899Z99	200010	R	01	321568822	D	1	00	20001002					

L **Defined Benefit Record**

L	Report	Report	Rpt	Rpt	SSN	System	Plan	Type	Earn	Status	Hours	Days	Member	Employer	Def Bene
L	Group	Period	Type	Ver				Code	Period	Code			Comp	Contrib	Contrib

L **Defined Contribution Record**

L	Report	Report	Rpt	Rpt	SSN	System	Deferral	Tax	Invest	Rate
L	Group	Period	Type	Ver			Amount	Status	Prgm	Option
C	899Z99	200010	R	01	123768888	D	140.00			
C	899Z99	200010	R	01	032556606	D	50.00			
C	899Z99	200010	R	01	321568822	D	100.00			
C	899Z99	200010	R	01	987561234	D	250.00			

L **Transfer Record**

L	Report	Report	Rpt	Rpt	SSN	System	Transfer
L	Group	Period	Type	Ver			Date

Figure 8-9

NOTE: There should be no transactions in the Defined Benefit Record or the Transfer Record if reporting deferrals for participants of the Deferred Compensation Program. These records should not be included in the file.

Reporting by Diskette

How to Submit a Transmittal Report on Diskette

To submit your transmittal report by diskette, create a single electronic file containing your detailed transmittal transactions and the summary record information. Use one of the data formats described on page 16 and save the file on a diskette. Mail the diskette with the payment and the DCP Payment Advice form to DRS as soon as possible (before, on or soon after each payday).

What You Can Report by Diskette

A diskette can be used to submit:

- regular transmittal reports.

What You Will Need

To report by diskette you will need:

- a personal computer or other computer;
- the ability to save your transmittal report as an electronic file in one of the formats DRS can accept. (If you use a spreadsheet or other program to prepare your payroll, you may already be able to save data in one of the ASCII formats described beginning on page 16); and
- a completed DRS Data Sharing Agreement.

Note: DRS can accept only 3.5 inch diskettes formatted for PC.

Advantages of Reporting by Diskette

Reporting by diskette allows you to eliminate the time and costs of preparing a paper report. By limiting the manual intervention involved in submitting your DCP deferral information on paper, you increase the potential for accuracy.

How To Start Reporting via a Diskette

Step 1—Complete a DRS Data Sharing Agreement

Before reporting via diskette, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Call ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Step 2—Prepare Your Transmittal Information

The preliminary step of preparing your DCP transmittal information is the same for diskette reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to report to DRS.

Step 3—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal report transactions for each participant; and
- the summary record totals that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to submit to DRS, create a summary record to include with your detailed transactions.

Step 4—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and your summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 16. The formats standardize the order of the data in your transmittal report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 5—Name Your File

See Figure 8-11 for an example of naming your electronic files using the following convention:

- the first 4 characters indicate the employer's organization number which is assigned by DRS. If you do not know your organization number, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

  —TAB for ASCII tab delimited format
  —FIX for ASCII fixed length format

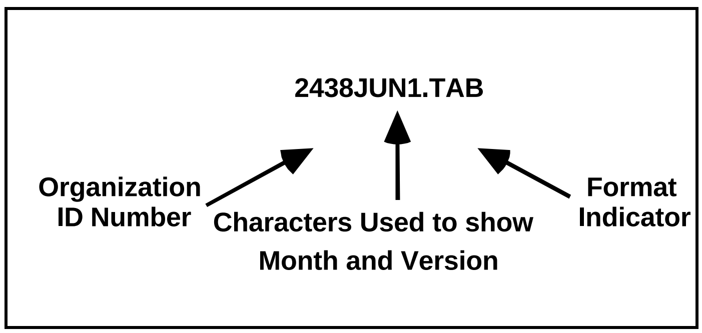

Figure 8-11

Step 6—Prepare Your Diskette

Save your transmittal report on a diskette as one file (you can combine more than one report in your file). Send only the current report. If you have used the diskette for previous reports, delete any old information still stored on the diskette.

Step 7—Label the Diskette

Each diskette you send to DRS must have an outside label. Include the following information on the label:

- employer name;
- employer address;
- DCP report;
- file name for the electronic file on the diskette;

- report period; and
- your DRS-assigned organization ID. If you need to verify your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657.

Step 8—Address and Mail Your Diskette

Be sure to use appropriate packaging to ensure that your diskette is not damaged. The address for mailing the diskette and associated payment will depend upon the carrier you use.

Federal Express or United Parcel Service		*United States Postal Service*
DRS Cash Room 6835 Capitol Blvd. Tumwater, WA 98501	or	DRS Cash Room P.O. Box 9018 Olympia, WA 98507-9018

Step 9—Submit a Test Diskette

If you are changing to diskette reporting from another method, contact ESS so they can work with you to send a test diskette. ESS will edit the test file to ensure the file can be read and that the data is in the correct format. You should continue to submit transmittal reports using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 10—Begin Regular Reporting by Diskette

Once a test is successful, you will be notified that you can begin using a diskette to send transmittal reports. ESS will return your diskette after each transmittal report has been processed.

Reporting Via FTP

How to Report Via FTP

To submit a transmittal report via FTP, create a single electronic file containing both the detailed transmittal report transactions and the summary record information. Use the appropriate data format option. Save the file and transmit to DRS by payday or sooner if possible.

What You Can Report Via FTP

You can use FTP to submit:

- regular transmittal reports.

What You Will Need

To submit via FTP you need:

- computer hardware and software that can prepare an electronic file in the required data format;
- an Internet connection with FTP software; and
- a completed DRS Data Sharing Agreement.

Advantages of FTP Reporting

FTP reporting allows you to eliminate the time and costs of mailing a diskette or paper report. FTP reporting also allows DRS to update participants' accounts and respond to your transmittal report more effectively.

Getting Started with FTP Reporting

Step 1—Establish a DRS user ID

FTP transmittal reporting requires employers to establish a user ID with DRS and to provide an Internet e-mail address. Call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process of establishing a user ID.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via FTP, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties when sharing data. Call ESS for an agreement form. A security profile (includes your user ID, password and directory path/location you will transmit your file to) is necessary in order for DRS to accept your electronic file via FTP. Upon receipt of the signed Data Sharing Agreement, your security profile will be established.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal reporting information is the same for FTP reporting as for any other method. You will use your payroll information to determine the detailed regular transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each transmittal report to DRS includes two parts:

- the detailed transmittal reporting transactions for each participant; and
- the summary record totals that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 16. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 6—Name Your FTP File

See Figure 8-10 for an example of naming your electronic files using the following convention:

- the first 4 characters indicate the organization identification number assigned by DRS. If you do not know your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

  —TAB for ASCII tab delimited format
  —FIX for ASCII fixed length format

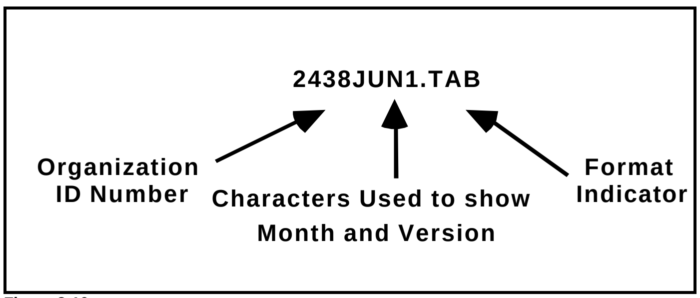

Figure 8-10

Step 7—Submit a Test FTP file to DRS

If you are changing to FTP reporting from another method, contact ESS so they can work with you to send a test file. ESS will edit the test file to ensure the file can be read and the data is in the correct format. You should continue to submit the DCP transmittal report using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 8—Begin Reporting via FTP

Once a test is successful, you will be notified that you can begin using FTP to send transmittal reports. Each weeknight, DRS will search your directory for files with appropriate file names. DRS will process the file the evening of the day you transmit the file. To confirm receipt of the file, DRS generates an E-mail message to you approximately 6:00 pm the day you send your file.

After the file is processed, DRS will delete the file from your assigned directory. If you discover the file you sent has an error, re-transmit a correct file with the same file name and it will replace the original file you sent if the original file has not been processed. (Processing begins at 5:00 pm Pacific Standard Time.)

Reporting via Dataset

How to Report via Dataset

The dataset method of electronic reporting is recommended for an employer who has already established an account with DIS, and is able to create and send an electronic file to the DIS IBM System 390 MVS mainframe computer in Olympia.

To submit your transmittal report via dataset, create a single electronic file containing both detailed transactions and the summary record information. Use the appropriate data format option described on page 16. Save the file and transmit the file to DRS.

What You Can Report via Dataset

You can use a dataset to submit:

- regular transmittal reports.

What You Will Need

To submit datasets you will need:

- computer hardware and software that can prepare a dataset in the necessary data format;
- a DIS account;
- a completed DRS Data Sharing Agreement; and
- the ability to transmit datasets to the DIS IBM System 390 MVS mainframe computer in Olympia if the dataset is created on your own computer, or create the dataset on the DIS computer.

Advantages of Dataset Reporting

Dataset reporting allows you to eliminate the time and costs of mailing a diskette or paper report. Dataset reporting also allows DRS to update participants' accounts and respond to your DCP transmittal report more effectively.

Getting Started with Dataset Reporting

Step 1—Establish a DIS Account

Before you can transmit transmittal reports via dataset, you must have an account with DIS. A DIS-provided user ID is also needed to create a dataset on the DIS mainframe. This account and user ID are separate from any agreements with DRS. If you do not already have an account with DIS, call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via dataset, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Contact ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Once DRS has received a signed Data Sharing Agreement, your security profile will be established. A security profile is necessary for DRS to accept your electronic file via dataset.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for dataset reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal transactions for each participant; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file. The EBCDIC data format must be used to report via the dataset method.

Step 6—Name Your Dataset

See Figure 8-12 for an example of naming your dataset using the following convention:

- The file name must begin with the following two qualifiers: INPES124.PC8600. be sure to include a period between each qualifier.
- Begin the next qualifier with an E. The following 4 digits are the employer's organization number which is assigned by DRS and is part of the Data Sharing Agreement.

- You have the option of using additional qualifiers to identify your dataset. Each qualifier can be up to 8 characters, and must start with an alpha/numeric character. Separate each qualifier with a period. The total length of the name must not be more than 44 characters.

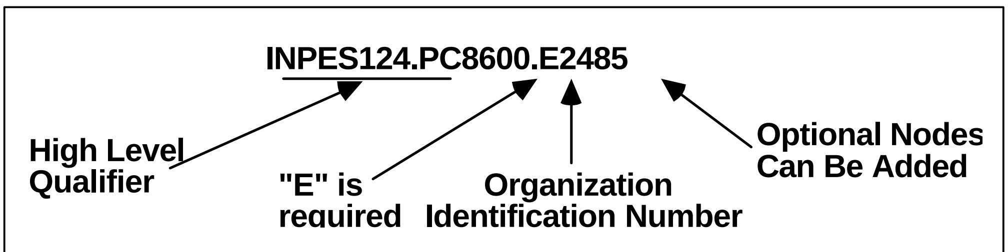

Figure 8-12

Step 7—Submit a Test Dataset to DRS

If you are changing to dataset reporting from another method, contact ESS so they can work with you to send a test file. ESS will edit the test file to ensure the file can be read and the data is in the correct format. You should continue to report using your current method until you are notified by ESS of a successful test. *Test file names should include PC8400 after INPES124: INPES124.PC8400.E2485.*

Step 8—Begin Regular Reporting by Dataset

Once a test is successful, you will be notified that you can begin using datasets to send transmittal reports. Each weeknight, DRS will search for datasets with appropriate file names. DRS will process the file the evening (5:00 pm Pacific Standard Time) of the day you transmit the file.

Field Descriptions

Below are the descriptions of each field within the transmittal report. The fields are listed in alphabetical order (field names in the Defined Benefit Record and Plan 3 Transfer Record are not included because they are not needed to report DCP information). The fields that are contained in more than one record type are identified with an **.

Address Change Flag

Use “Y” to update a participant’s mailing address or report “N” if you have included participant address information, but do not want to update the DRS participant database.

Address Lines

Three fields are provided for mailing address information.

Birth Date

Use this field to provide the participant’s birth date.

City

Use this field to report the name of the city within the mailing address for the participant.

Control Number

Does not apply to DCP reporting. This field be blank.

Deferrals

Use this field to report deferrals for DCP participants.

- **When to begin reporting deferrals**
  DRS will notify an employer when to begin (pay date) deferring for each employee who chooses to become a DCP participant.

Disability/Leave End Date

Does not apply to DCP reporting. This field should be zero filled.

Disability/Leave Start Date

Does not apply to DCP reporting. This field should be zero filled.

Eligibility Start Date

Use this field to report the first payday that an employee has a DCP deduction (deferral) taken from his or her compensation.

Eligibility Termination Date

Use this field to report the employee's employment termination date for DCP participants.

Expected Monthly Reports

Employers who participate in DCP and have more than one pay date in a month must submit a DCP report for each payday. (DRS does not want employers who have a bi-weekly payroll system to send more than two reports in a month.)

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.
- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which report this is in the month's sequence of reports.
  Example: 01 of 02 (first report of two expected reports for the month). Refer to report version number definition.

Gender Code

Use this field to provide the participant's gender. Valid values: F or M

Investment Program

Does not apply to DCP reporting. This field should be blank.

Organization Display

Does not apply to DCP reporting. This field should be blank.

Participant Name Change Flag

Use "Y" to update the participant's name or report "N" if you have included name information, but do not want to update the DRS participant database.

Participant Name Extension

Use this field to provide the legal extension of the name, such as III, Sr. or Jr. Do not report extensions earned through education; i.e., Dr., DDM.

Participant Name—Last/First/Middle

The name identifies the employee being reported. Three fields (Last Name, First Name, Middle Name) can be used to report the name. The middle name is not required.

Participant Name Suffix

Use this field to report any additional initials or abbreviation indicating degrees earned through the educational process, such as "Ph.D."

Participant Name Title

Use this field to report a formal name or abbreviation used in front of the full name, such as “Dr.” or “Rev.”

Plan Code

Use this field to provide the plan number of the system in which the participant participates. Valid value: 1.

Rate Option

Does not apply to DCP reporting. This field should be blank.

Record Type Identifier**

Each record has a unique record type identifier. If you are using a spreadsheet to create the transmittal report or the file contains rows that are not filled with transmittal report data (such as column headings), mark them with “L” so the DRS system will not read them as data. See figure 8-9 on page 18.

C—to identify the Defined Contribution Record.
E—to identify the Employment Information Record.
L—to identify rows with column headings or rows you do not want DRS to process.
M—to identify the Member Profile Record.
S—to identify the Summary Record.

Report Type**

This field is used to indicate the report is a regular transmittal report. Valid values: R.

R—Regular transmittal report

Report Version Number**

DRS can arrange for employers who report electronically to submit multiple DCP transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month.

Note: To use the multiple reporting option, and/or when you change your payroll cycle, you must make prior arrangement with DRS. For additional information, contact the ESS at (360) 664-7200 or 1-800-547-6657.

- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.
- Employers using the multiple reporting option must use the Report Version Number to identify which transmittal report this is in the month’s sequence of reports.
  Example: 01 of 02 (first report of two expected reports for the month). Refer to Expected Monthly Reports definition.

Reporting Group (Agency) Number**

This is a DRS-assigned number and is system specific.

- Fixed length ASCII format—The field length must be 6 characters. If the reporting group (agency) number is less than 6 characters long, add blank spaces at the end. Example: 124 ~~bbb~~.

Reporting Period**

The reporting period identifies the year and month of the transmittal report.

Social Security Number (SSN) **

The participant's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal report must match the number on the employee's Social Security card.

State

Use this field to report the state abbreviation within the mailing address.

System Code**

The system code identifies the system being reported. Value: D

Taxed/Non-taxed Status

Does not apply to DCP reporting. This field should be blank.

Total Compensation

Does not apply to DCP reporting. This field should be zero filled.

Total Days

Does not apply to DCP reporting. This field should be zero filled.

Total Deferrals

The sum of all DCP participant deferrals should be entered in this field.

Total Employer Contributions

Does not apply to DCP reporting. This field should be zero filled.

Total Hours

Does not apply to DCP reporting. This field should be zero filled.

Total Records Reported

Enter the total number of detailed transactions (do not include Summary Record in this count) on the transmittal report.

Type Code

Does not apply to DCP reporting. This filed should be zero filled.

Zip Code

Use this field to report the zip code within the mailing address for the participant.

Zip Extension

Use this field to report the zip code extension within the mailing address for the participant.

DRS Transmittal Report System Edits by Field

General Information

In July 1996, the Multiple Record Layout (MRL) was created in order to process Plan 3 information. MRL is required to report DCP participants as of July 1, 2000. The information below is provided to assist you if you choose to edit your reports.
The information is organized by the field names on the transmittal report. DRS hopes this information will help you incorporate enhancements in your transmittal reporting.

Address Change Flag

- Valid values : Y or N

Address Lines

- The first line must contain information
- The second and third lines are optional

Birth Date

- BIRTH DATE must appear on the first transmittal report you submit for an employee.
- Valid values for year, month, day
- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Note: If the BIRTH DATE indicates the participant is younger than 16 or older than 100 years, DRS accepts the data but issues a warning message asking if the date is correct.

City

- This field must contain a valid city whenever the participant profile record is submitted.

Control Number (does not apply to DCP reporting)

- This field should be blank
- No edits

Deferrals

- Must be numeric.
- DCP participant deferrals only.

Disability Leave/End Date (does not apply to DCP reporting)

- Valid values for year: 00-99
- Valid values for month: 01-12

- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Disability Leave/Start Date (does not apply to DCP reporting)

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Eligibility Start Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- Data must appear in this field the first time a SOCIAL SECURITY NUMBER is reported.

Eligibility Termination Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- The END DATE must be greater than or equal to the BEGIN DATE for this employee with this employer.

Expected Monthly Reports

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.
- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which regular transmittal report this is in the month's sequence of reports.

Gender Code

- Valid values: F, M
  F—Female
  M—Male
- GENDER CODE must be reported the first time you report an employee.

Investment Program (does not apply to DCP reporting)

- This field should be blank.

Organization Display (does not apply to DCP reporting)

- This field should be blank.
- No edits.

Participant Name Change Flag

- Valid values: Y or N

Participant Name Ext.

- No edits.

Participant Name—Last, First, Middle

- A valid NAME must be present for the transaction to be processed.
- Reported data must not be all numbers.
- Middle name is optional.

Note: DRS checks that the EMPLOYEE NAME matches DRS's participant database for the reported SOCIAL SECURITY NUMBER.

Participant Name Suffix

- No edits.

Participant Name Title

- No edits.

Plan Code

- Valid value: 1—Plan 1
- A valid PLAN code must be present for the transaction to be processed.

Note: DRS checks the PLAN code against the plan shown for the employee's Social Security number on DRS's participant database.

Rate Option (does not apply to DCP reporting)

- This field should be blank.

Record Type Identifier

- Valid values: C, E, L, M and S

Report Type

- Valid values: R

Report Version Number

- Valid values: 01—02
- Employers who are not using the multiple reporting option should always enter 01 in the REPORT VERSION NUMBER field.
- Employers using the multiple reporting option, must use the Report Version Number to identify which report this is in the month's sequence of reports.

Reporting Group (Agency) Number

- A valid REPORTING GROUP (Agency) NUMBER must be present for the transaction to be processed.
- The REPORTING GROUP must be valid for the SYSTEM reported for this transaction.

Note: DRS validates the REPORTING GROUP NUMBER against DRS's database of valid reporting group numbers.

Reporting Period

- Valid values for year: 00-99
- Valid values for month: 01-12
- A valid REPORTING PERIOD must be present for the transaction to be processed.
- REPORTING PERIOD YEAR must not be greater than current year.
- REPORTING PERIOD MONTH must not be greater than current month.
- REPORTING PERIOD must be one month greater than the last reported REPORTING PERIOD for this REPORTING GROUP.
- All transactions on a particular transmittal report must have the same REPORTING PERIOD.

Social Security Number

- A valid SOCIAL SECURITY NUMBER must be present for the transaction to be processed.
- If a SOCIAL SECURITY NUMBER has not appeared on the transmittal report before, the transaction must have an ELIGIBILITY START DATE.
- A SOCIAL SECURITY NUMBER should not appear for any EARNING PERIOD before the reported ELIGIBILITY START DATE.
- Once a SOCIAL SECURITY NUMBER has been reported, that same SOCIAL SECURITY NUMBER must be reported on each DCP report until that employee changes his or her deferral amount to zero and/or is separated (due to terminating employment) from the transmittal report.

Note: DRS verifies the SOCIAL SECURITY NUMBER matches the name and SOCIAL SECURITY NUMBER in the DRS's participant database.

State

- Valid values are each state's letter abbreviations used for mailing.

System Code

- A valid SYSTEM code must be present for the transaction to be processed.
- Valid Values: D
- D—Deferred Compensation Program (DCP)

Note: DRS checks that the SYSTEM code matches our record of the system for the REPORTING GROUP NUMBER.

Tax/Non-Tax (does not apply to DCP reporting)

- This field should be blank.

Total Compensation (does not apply to DCP reporting)

- This field should be zero filled.

Total Days (does not apply to DCP reporting)

- This field should be zero filled.

Total Deferrals

- Should equal the sum of all participant deferrals.

Total Employer Contributions (does not apply to DCP reporting)

- This field should be zero filled.

Total Hours (does not apply to DCP reporting)

- This field should be zero filled.

Total Records Reported

- Should equal the sum of all detail records reported.

Type Code (does not apply to DCP reporting)

- This field should be zero filled.

Zip Code

- Must be numeric.

Zip Extension

- If entered, must be numeric.